

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

UCIVN-020US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/533060  
To Be DeterminedINTERNATIONAL APPLICATION NO.  
PCT/US2003/034837INTERNATIONAL FILING DATE  
30 October 2003PRIORITY DATE CLAIMED  
30 October 2002

## TITLE OF INVENTION

COMPOUNDS, METHODS AND DEVICES FOR INHIBITING NEOPROLIFERATIVE CHANGES IN BLOOD VESSEL WALLS

## APPLICANT(S) FOR DO/EO/US

The Regents of the University of California

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV330332923US
23. ☒ Other items or information:

Postcard

IC20 Rec'd PCT/PTO 27 APR 2005

PTO-1390 (Rev. 02-2005)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |              |  |                     |                          |               |
|--|--------------|--|---------------------|--------------------------|---------------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.5)   |              | INTERNATIONAL APPLICATION NO.  |                     | ATTORNEY'S DOCKET NUMBER |               |
| To Be Determined   |              | PCT/US2003/034837  |                     | UCIVN-020US              |               |
| The following fees are submitted:  |              |  |                     | CALCULATIONS             | PTO USE       |
| 24. <input checked="" type="checkbox"/> Basic national fee   |              |  |                     | \$300                    | \$ \$300.00   |
| 25. <input checked="" type="checkbox"/> Examination fee  |              |  |                     |                          |               |
| If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4).  |              |  |                     | \$100                    | \$ \$200.00   |
| All other situations.  |              |  |                     | \$200                    |               |
| 26. <input checked="" type="checkbox"/> Search fee   |              |  |                     |                          |               |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority  |              |  |                     | \$100                    |               |
| International Search Report prepared and provided to the Office  |              |  |                     | \$400                    |               |
| All other situations.  |              |  |                     | \$500                    | \$ \$100.00   |
| TOTAL OF 24, 25 and 26 =   |              |  |                     |                          | \$ \$600.00   |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |  |                     |                          |               |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE                |                          |               |
| 54 - 100 =   | 0 /50 =      | 0  | x \$250.00          | \$                       | \$ \$0.00     |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |  |                     | \$                       |               |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE                |                          |               |
| Total claims   | 46 - 20 =    | 26   | x \$50.00           | \$                       | \$ \$1,300.00 |
| Independent claims   | 3 - 3 =      | 0  | x \$200.00          | \$                       | \$ \$0.00     |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00  |              |  |                     | \$                       | \$ \$0.00     |
| TOTAL OF ABOVE CALCULATIONS =  |              |  |                     | \$                       | \$ \$1,900.00 |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |  |                     | \$                       | \$ \$950.00   |
| SUBTOTAL =   |              |  |                     | \$                       | \$ \$950.00   |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |  |                     | \$                       | \$ \$0.00     |
| TOTAL NATIONAL FEE =   |              |  |                     | \$                       | \$ \$950.00   |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +  |              |  |                     | \$                       | \$ \$0.00     |
| TOTAL FEES ENCLOSED =  |              |  |                     | \$                       | \$ \$950.00   |
|  |              |  |                     | Amount to be             | \$            |
|  |              |  |                     | Amount to be             | \$            |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>\$950.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0878</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |  |                     |                          |               |
| <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>  |              |  |                     |                          |               |
| SEND ALL CORRESPONDENCE TO:  |              |  |                     |                          |               |
| Robert D. Buyan  |              |  | SIGNATURE           |                          |               |
| Stout, Uxa, Buyan & Mullins, LLP   |              |  | Robert D. Buyan     |                          |               |
| 4 Venture, Suite 300   |              |  | NAME                |                          |               |
| Irvine, CA 92618   |              |  | 32,460              |                          |               |
|  |              |  | REGISTRATION NUMBER |                          |               |

10/533060

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Attorney Docket No. UCIVN-020US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|   |   |                            |
|---|---|----------------------------|
| In re Application of: Koehler, et al.   | ) |                            |
|   | ) | Art Unit: To Be Determined |
| Serial No.: To Be Determined            | ) |                            |
|   | ) | Examiner: To Be Determined |
| Corresponding to:                       | ) |                            |
| PCT/US2003/034837                       | ) |                            |
|   | ) |                            |
| Filed: April 27, 2005, Herewith         | ) |                            |
|   | ) |                            |
| For: Compounds, Methods and             | ) |                            |
| Devices for Inhibiting Neoproliferative | ) |                            |
| <u>Changes in Blood Vessel Walls</u>    | ) |                            |

**CERTIFICATE OF MAILING**

**(United States National Stage Application Based on PCT/US2003/034837)**

Express Mail Label No: EV330332923US

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that the following documents as identified below are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on April 27, 2005, addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 USC 371;
2. Copy of International Application as Filed/Published under the PCT, (35 pages of written specification, 10 pages of claims, 6 sheets of drawings (Figs. 1A-4) and an abstract of 1 page);
3. Check No. 3753 in the amount of \$950.00 to cover national stage filing fees;
4. A return postcard.

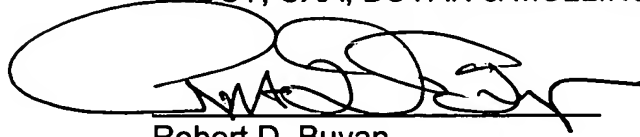
10/533060

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Each of the 4 above-identified documents are enclosed herewith.

Respectfully submitted,

STOUT, UXA, BUYAN & MULLINS, LLP

A handwritten signature in black ink, appearing to read 'R. Buyan', is written over a horizontal line.

Robert D. Buyan  
Registration No. 32, 460

Date: April 27, 2005

4 Venture, Suite 300  
Irvine, CA 926182  
Telephone (949) 450-1750  
Fax: (949) 450-1764